



#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

STIESDAL et al.

Serial No. 09/991,781

Art Unit 3745

Filed: November 26, 2001

For: METHOD FOR IMPROVEMENT OF THE EFFICIENCY OF A WIND TURBINE
ROTOR

RESPONSE

To the Director of the Patent and Trademark Office

Sir:

In response to the attached Notice to File Missing Parts of Nonprovisional Application dated December 6, 2001, kindly accept the attached Power of Attorney, Statement Under 37 CFR 3.73(b) and Declaration for the above-identified application.

A check for \$130.00 is also attached to cover the government surcharge for filing missing parts.

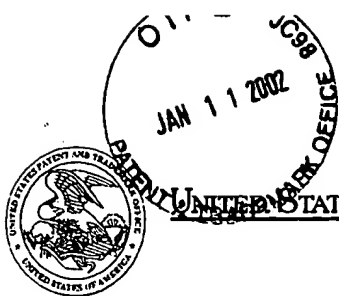
Respectfully,

James C. Wray, Reg. No. 22,693
Meera P. Narasimhan, Reg. No. 40,252
1493 Chain Bridge Road
Suite 300
McLean, Virginia 22101
Tel: (703) 442-4800
Fax: (703) 448-7397

January 11, 2002

**COPY OF PAPERS
ORIGINALLY FILED**

#3



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/991,781	11/26/2001	Henrik Stiesdal	PATRADE

CONFIRMATION NO. 5904

FORMALITIES LETTER



OC000000007161886

James C. Wray
Suite 300
1493 Chain Bridge Road
McLean, VA 22101

Date Mailed: 12/06/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

01/16/2002 NROCHA1 00000062 09991781

01 FC:105

130.00 DP

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ORIGINALLY FILED



0410 3700

Receipt #5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

MAR 26 2002

TECHNOLOGY CENTER R3700

In re Application of
STIESDAL et al.

Serial No. 09/991,781

Art Unit 3745

Filed: November 26, 2001

For: METHOD FOR IMPROVEMENT OF THE EFFICIENCY OF A WIND TURBINE
ROTOR

REQUEST FOR CORRECTION OF FILING RECEIPT

To the Director of the Patent and Trademark Office

Sir:

Kindly correct the filing receipt for the above-identified application as follows, as marked in red on the attached copy of the filing receipt:

The correct name of the second inventor is:

Peder Bay Enevoldsen

A copy of the cover sheet of the originally filed application and of the Declaration showing the correct inventor name is also attached.

Kindly amend the Patent and Trademark Office records
accordingly and issue a corrected filing receipt.

Respectfully,



James C. Wray, Reg. No. 22,693
Meera P. Narasimhan, Reg. No. 40,252
1493 Chain Bridge Road
Suite 300
McLean, Virginia 22101
Tel: (703) 442-4800
Fax: (703) 448-7397

January 11, 2002



UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED DEC 10 2001

 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20523
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/991,781	11/26/2001	3745	740	PATRADE	8	13	2

CONFIRMATION NO. 5904

FILING RECEIPT



OC00000007161885

 James C. Wray
 Suite 300
 1493 Chain Bridge Road
 McLean, VA 22101

Date Mailed: 12/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

 Henrik Stiesdal, Residence Not Provided;
 Peder ~~Bye~~ Enevoldsen, Residence Not Provided;
 Bay

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 12/05/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Method for improvement of the efficiency of a wind turbine rotor

Preliminary Class

416

APPLICATION

FOR

UNITED STATES LETTERS PATENT

FOR

METHOD FOR IMPROVEMENT OF THE EFFICIENCY
OF A WIND TURBINE ROTOR

BY

HENRIK STIESDAL
and
PEDER BAY ENEVOLDSEN

↓
highlighted

James C. Wray, Reg. No. 22,693
Meera P. Narasimhan, Reg. No. 40,252
1493 Chain Bridge Road
Suite 300
McLean, Virginia 22101
Tel: (703) 442-4800
Fax: (703) 448-7397

Please type a plus sign (+) inside this box → ☐

PTO/SB/01 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing **OR** ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number

PATRADE

First Named Inventor

STIESDAL

COMPLETE IF KNOWN

Application Number

09 / 991,781

Filing Date

11/26/2001

Group Art Unit

Examiner Name

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Method for Improvement of the Efficiency of a Wind Turbine Rotor

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

11/26/2001

as United States Application Number or PCT International

Application Number

09/991,781

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

DECLARATION — Utility or Design Patent Application

Direct all correspondence to:

☐Customer Number
or Bar Code LabelOR ☒

Correspondence address below

Name

James C. Wray

Address

1493 Chain Bridge Road

Address

Suite 300

City

McLean

State

VA

ZIP

22101

Country

US

Telephone

(703) 442-4800

Fax

(703) 448-7397

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐

A petition has been filed for this unsigned inventor

Given Name

Henrik

Family Name
or Surname

Stiesdal

(first and middle [if any])

Inventor's
Signature

Date

12 dec 01

Residence: City

Odense C

State

Denmark
Country

Citizenship

Danish

Mailing Address

Nørrevoldgade 45

Mailing Address

City

Odense C

State

ZIP

DK-5000

Country

Denmark

NAME OF SECOND INVENTOR:

☐

A petition has been filed for this unsigned inventor

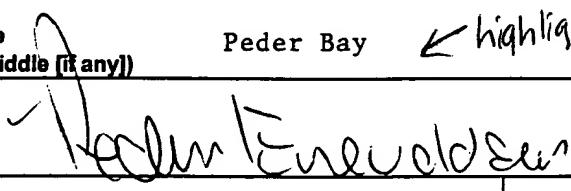
Given Name

Peder Bay

Family Name
or Surname

Enevoldsen

(first and middle [if any])

Inventor's
Signature

Date

12/12-2001

R sidence: City

Vejle

State

Denmark
Country

Citizenship

Danish

Mailing Address

Petershøjvej 10

Mailing Address

City

Vejle

State

ZIP

DK-7100

Country

Denmark

☐ Additional inventors are being named on the ____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

Complete if Known

Application Number 09/991,781
 Filing Date 11/26/2001
 First Named Inventor STIESDAL
 Examiner Name
 Group Art Unit 3745
 Attorney Docket No. PATRADE

FEE TRANSMITTAL for FY 2002

JAN 11 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 130.00

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number
 Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	=
Multiple Dependent	-3** =	X	=

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 130.00

SUBMITTED BY

Name (Print/Type) Meera P. Narasimhan
 Signature

Registration No. (Attorney/Agent) 40,252

Complete (if applicable)

Telephone (703) 442-4800
 Date 01/11/2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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